

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. G-305

First Inventor or Application Identifier Elizabeth G. Hetzler, et al.

Title Method and Apparatus for Entity Relationship...

Express Mail Label No. EJ017935753

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing) 22
2. ☒ Specification [Total Pages 22]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
4. Oath or Declaration [Total Pages 1]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☒ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

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		Zip Code	99352
		Fax	(509) 375-4487

Name (Print/Type)	Paul W. Zimmerman	Registration No. (Attorney/Agent)	34.761
Signature	<i>Paul W. Zimmerman</i>	Date	99/06/29

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<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 1999</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</p>		<p><i>Complete if Known</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 50%;">Application Number</td><td style="width: 50%;"></td></tr> <tr><td>Filing Date</td><td></td></tr> <tr><td>First Named Inventor</td><td>E.G. Hetzler, et al.</td></tr> <tr><td>Examiner Name</td><td></td></tr> <tr><td>Group / Art Unit</td><td></td></tr> <tr><td>Attorney Docket No.</td><td>G-305</td></tr> </table>		Application Number		Filing Date		First Named Inventor	E.G. Hetzler, et al.	Examiner Name		Group / Art Unit		Attorney Docket No.	G-305
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TOTAL AMOUNT OF PAYMENT	(\$) 425.00														

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																								
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: 02-1275</p> <p>Deposit Account Name: Battelle Memorial Institute Pacific Northwest Division</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<h3>3. ADDITIONAL FEES</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 380</td><td>216 190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 870</td><td>217 435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,360</td><td>218 680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,850</td><td>228 925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 300</td><td>219 150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 300</td><td>220 150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 260</td><td>221 130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,210</td><td>241 605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,210</td><td>242 605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 430</td><td>243 215</td><td>Design issue fee</td><td></td></tr> <tr><td>144 580</td><td>244 290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 760</td><td>246 380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149 760</td><td>249 380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="2" style="text-align: right;">Reduced by Basic Filing Fee Paid</td> <td style="text-align: right;">SUBTOTAL (3)</td> <td style="text-align: right;">(\$) -0-</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet.		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 380	216 190	Extension for reply within second month		117 870	217 435	Extension for reply within third month		118 1,360	218 680	Extension for reply within fourth month		128 1,850	228 925	Extension for reply within fifth month		119 300	219 150	Notice of Appeal		120 300	220 150	Filing a brief in support of an appeal		121 260	221 130	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,210	241 605	Petition to revive - unintentional		142 1,210	242 605	Utility issue fee (or reissue)		143 430	243 215	Design issue fee		144 580	244 290	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 760	246 380	Filing a submission after final rejection (37 CFR 1.129(a))		149 760	249 380	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$) -0-
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SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Paul W. Zimmerman		Reg. Number	34,761	
Signature	Paul W. Zimmerman	Date	99/04/26	Deposit Account	005055

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant or Patentee: EG Hetzler, SL Havre, WM Harris, DT Donohoo,
PD Whitney, and GC Nakamura

Serial or Patent No.: _____

Filed or Issued: _____

For: METHOD AND APPARATUS FOR ENTITY RELATIONSHIP VISUALIZATION

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) -

I hereby declare that I am an official empowered to act on behalf of the
entity identified below:

NAME OF ORGANIZATION Battelle Memorial Institute
Pacific Northwest Division
ADDRESS OF ORGANIZATION Post Office Box 999, Richland, WA 99352

TYPE OF ENTITY:

- ☒ Nonprofit Organization (37 CFR 1.9(e))
Nonprofit Scientific or Educational Under Statute of State of the
United States of America
(Name of State Ohio)
(Citation of Statute Sections 1719.01 and 1719.05, Rev. Code
of Ohio)
☐ Small Business (37 CFR 1.9(d))
☐ Independent Inventor (37 CFR 1.9(c))

I hereby declare that the entity identified above qualifies as such as defined
in ☐ 37 CFR 1.9(c) ☐ 37 CFR 1.9(d) ☒ 37 CFR 1.9(e) for purposes of paying
reduced fees under section 41(a) and (b) of Title 35, United States Code with
regard to the invention entitled METHOD AND APPARATUS FOR ENTITY RELATIONSHIP
VISUALIZATION by inventor(s) EG Hetzler, SL Havre, WM Harris, DT Donohoo, PD
Whitney, and GC Nakamura described in

- ☐ application executed _____
☒ specification filed herewith
☐ application serial no. _____, filed _____
☐ patent no. _____, issued _____.

09365442-073099

I hereby state that rights under contract or law have been conveyed to and remain with entity with regard to the above identified invention.

If the rights held by such entity are not exclusive, each individual, concern or organization having rights in the invention must file separate statements as to their status as small entities (37 CFR 1.27) and that no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

NAME _____
ADDRESS _____
☐ INDEPENDENT INVENTOR ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDEPENDENT INVENTOR ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Paul W. Zimmerman
TITLE OF ORGANIZATION Contracting Officer, Pacific Northwest Division,
Battelle Memorial Institute
ADDRESS OF PERSON SIGNING Post Office Box 999, Richland, WA 99352

SIGNATURE Paul W. Zimmerman DATE 11/04/29

0965342-07999

Express Mailing Label #EJ017935753US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
)
EG Hetzler, SL Havre, WM Harris,)
DT Donohoo, PD Whitney, and)
GC Nakamura)
) Our Ref. No: G-305
For: METHOD AND APPARATUS FOR)
ENTITY RELATIONSHIP) Date: July 28, 1999
VISUALIZATION)

CERTIFICATE OF MAILING

Box PATENT APPLICATION
Commissioner of Patents and Trademarks
Washington, DC 20231

Dear Sir:

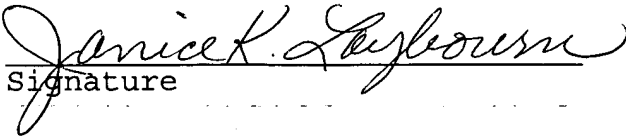
The undersigned hereby certifies that the attached:

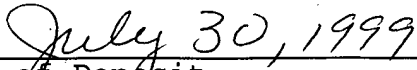
[X] Patent Application of ____ pages, and
[X] Drawings of ____ Sheets
[X] Fee Transmittal (2 ea.)
[] Assignment / Cvr. Sheet
[] Combined Declaration and Power of Attorney
[X] Small Entity
[] Information Disclosure
[] with attachments

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in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date set forth below.


Signature


Date of Deposit

Janice K. Laybourn K1-53
Intellectual Property Services
Battelle Memorial Institute
Pacific Northwest Laboratories
P.O. Box 999
Richland, WA 99352
(509) 375-2655